

® FORM PTO-1390  
OFFICE  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. § 371**

360842008500

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**10/069136**

INTERNATIONAL APPLICATION  
NO. PCT/JP01/00315

INTERNATIONAL FILING DATE  
**19 January 2001**

PRIORITY DATE CLAIMED  
**22 June 2000**

TITLE OF INVENTION

**POSITIVE-WORKING RADIATION-SENSITIVE COMPOSITION AND A METHOD FOR THE PRODUCTION OF A RESIST PATTERN  
EMPLOYING SAME**

APPLICANT(S) FOR DO/EO/US

**Hiroyuki NIWA; Kazutaka TAMURA; Masahide SENOO**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application under PCT Article 19 (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☒ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Applicant Data Sheet; Copy of International Search Report; return receipt postcard.

**CERTIFICATE OF HAND DELIVERY**

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on February 22, 2002.

*N. DeRiggi*  
N. DeRiggi

S. APPLICATION NO. (if known, see 37 CFR 1.5) NEW

10/069136

INTERNATIONAL

APPLICATION NO. PCT/JP01/00315

ATTORNEY'S DOCKET

NUMBER: 360842008500

21. ☐ The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO.....\$1,040.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO.....\$890.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$740.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provision of PCT Article 33(1)-(4) .....\$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) .....\$100.00

CALCULATIONS  
PTO USE ONLY

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from  
the earliest claimed priority date (37 CFR 1.492(e)).

\$\*

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	21 - 20 =	1	x \$18.00	\$18.00
Independent claims	1 - 3 =	0	x \$84.00	\$0

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**MULTIPLE DEPENDENT CLAIM(S) (if applicable)**

+ \$280.00

\$280.00

**TOTAL OF ABOVE CALCULATIONS =**

\$1,188.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced  
by 1/2.

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**SUBTOTAL =**

\$1,188.00

Processing fee of \$130.00 for furnishing the English translation later than  
☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

+

\$0

**TOTAL NATIONAL FEE =**

\$1,188.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+

\$ 40.00

**TOTAL FEES ENCLOSED =**

\$1,228.00

Amount  
to be  
refunded:  
charged:

\$\*

\$\*

- ☐ A check in the amount of \$\* to cover the above fees is enclosed.
- ☒ Please charge my Deposit Account No. 03-1952 (360842008500) in the amount of \$1,228.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment to Deposit Account No. 03-1952. A duplicate copy of this sheet is enclosed.
- ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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SIGNATURE

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